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7590 02/20/2004			EXAMINER	
Alexander M. Gerasimow, Esq.			PEREZ DAPLE, AARON C	
Rockwell Automation (Allen-Bradley Co., Inc.)			ART UNIT	PAPER NUMBER
1201 South Second Street Milwaukee, WI 53204			2121	10
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Please find below and/or attached an Office communication concerning this application or proceeding.

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	Application No.	Applicant(s)	_				
· Office Action Commons	09/965,545	DISCENZO ET AL.	/				
Office Action Summary	Examiner	Art Unit					
	Aaron Perez-Daple	2121					
The MAILING DATE of this communication app Period for Reply	ears on the cover sheet with the d	correspondence address					
A SHORTENED STATUTORY PERIOD FOR REPLY THE MAILING DATE OF THIS COMMUNICATION. - Extensions of time may be available under the provisions of 37 CFR 1.13 after SIX (6) MONTHS from the mailing date of this communication. - If the period for reply specified above is less than thirty (30) days, a reply - If NO period for reply is specified above, the maximum statutory period w - Failure to reply within the set or extended period for reply will, by statute, Any reply received by the Office later than three months after the mailing earned patent term adjustment. See 37 CFR 1.704(b).	36(a). In no event, however, may a reply be tir within the statutory minimum of thirty (30) day rill apply and will expire SIX (6) MONTHS from cause the application to become ABANDONE	nely filed is will be considered timely. If the mailing date of this communication. ID (35 U.S.C. § 133).					
Status							
1)⊠ Responsive to communication(s) filed on 28 Ja	nuary 2004.						
_							
3) Since this application is in condition for allowar	Since this application is in condition for allowance except for formal matters, prosecution as to the merits is						
closed in accordance with the practice under E	closed in accordance with the practice under Ex parte Quayle, 1935 C.D. 11, 453 O.G. 213.						
Disposition of Claims							
4) ☐ Claim(s) 1-8,12-22 and 24-42 is/are pending in 4a) Of the above claim(s) is/are withdray 5) ☐ Claim(s) is/are allowed. 6) ☐ Claim(s) 1-8, 12-22 and 24-42 is/are rejected. 7) ☐ Claim(s) is/are objected to. 8) ☐ Claim(s) are subject to restriction and/or	vn from consideration.						
Application Papers							
9)☐ The specification is objected to by the Examine	г.						
	epted or b) objected to by the						
Applicant may not request that any objection to the		· •					
Replacement drawing sheet(s) including the correcti							
11)☐ The oath or declaration is objected to by the Ex	ammer. Note the attached Office	ACTION OF TORM PTO-152.					
Priority under 35 U.S.C. § 119							
a) ☐ All b) ☐ Some * c) ☐ None of: 1. ☐ Certified copies of the priority documents 2. ☐ Certified copies of the priority documents 3. ☐ Copies of the certified copies of the priority documents application from the International Bureau	s have been received. s have been received in Applicati ity documents have been receive (PCT Rule 17.2(a)).	ion No ed in this National Stage					
* See the attached detailed Office action for a list	of the certified copies not receive	ed.					
Attachment(s)							
Notice of References Cited (PTO-892) Notice of Draftsperson's Patent Drawing Review (PTO-948) Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) Paper No(s)/Mail Date	4) Interview Summary Paper No(s)/Mail Do 5) Notice of Informal F 6) Other:						

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DETAILED ACTION

- 1. This Action is in response to Amendment filed 1/28/04, which has been fully considered.
- 2. Amended claims 1-8, 12-22 and 24-42 are presented for examination.
- 3. Claims 9-11 and 23 are cancelled by Applicant.
- 4. This action is made FINAL.

Response to Arguments

Oath/Declaration

5. The objection to the Oath/Declaration is withdrawn in view of Applicant's argument, which is found persuasive.

Claim Objections

6. Objections to claims 19 and 36 are withdrawn in view of Applicant's Amendment.

102 Claim Rejections

- 7. Applicant's arguments filed 1/28/04 have been fully considered but they are not persuasive.
- 8. With respect to claims 1-3, 10, 18-24, 27-30, 35 and 36 rejected under 35 U.S.C. 102(b) as being anticipated by Gotou et al (US 4,933,834) (hereinafter Gotou), Applicant asserts that because Gotou teaches measuring only speed, Gotou fails to teach the limitation "the attribute comprises at least one of vibration, speed, temperature, pressure and current in the motorized system." The limitation expressly recites "at least one of." Therefore, Gotou only needs to teach one of the recited attributes (e.g. speed) in order to meet the limitation. Gotou is not required to teach any other attributes (e.g. vibration, temperature, pressure or current)

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in order to meet the limitation. Because Gotou teaches measuring the speed of a motorized system, the Examiner finds that Gotou meets the recited limitation. Therefore claims 1-3, 10, 18-24, 27-30, 35 and 36 are properly rejected under 35 U.S.C. 102(b) as being anticipated by Gotou et al (US 4,933,834) (hereinafter Gotou).

9. With respect to claims 1, 19-21 and 36-38, 40 and 41 rejected under 35 U.S.C. 102(e) as being anticipated by Madhavan (US 6,004,017), Applicant asserts that because Madhavan teaches measuring only vibration, Madhavan fails to teach the limitation "the attribute comprises at least one of vibration, speed, temperature, pressure and current in the motorized system." The limitation expressly recites "at least one of." Therefore, Madhavan only needs to teach one of the recited attributes (e.g. vibration) in order to meet the limitation.

Madhavan is not required to teach any other attributes (e.g. speed, temperature, pressure or current) in order to meet the limitation. Because Madhavan teaches measuring the vibration of a motorized system, the Examiner finds that Madhavan meets the recited limitation.

Therefore claims 1-3, 10, 18-24, 27-30, 35 and 36 are properly rejected under 35

U.S.C. 102(b) as being anticipated by Madhavan (US 6.004.017).

103 Claim Rejections

- 10. Applicant's arguments filed 1/28/04 have been fully considered but they are not persuasive.
- 11. With respect to claims 4-9, 12-14, 25, 26 and 42 are rejected under 35 U.S.C. 103(a) as being unpatentable over Gotou (US 4,933,834) in view of Hays et al (US 6,260,004) (hereinafter Hays), Applicant asserts that Gotou and Hays fail to teach the limitations of the independent claims and therefore the dependent claims are allowable for the same reasons.

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Independent claims 1, 19, 22 and 36 have been shown to be properly rejected under 35 U.S.C. 102 (see above) as anticipated by Gotou. Therefore claims 4-9, 12-14, 25, 26 and 42 are properly rejected under 35 U.S.C. 103(a) as being unpatentable over Gotou (US 4,933,834) in view of Hays et al (US 6,260,004).

- 12. Similarly, with respect to claims 15, 17, 31-34, 39 and 42, Applicant asserts that because the primary reference fails to teach the limitations of the independent claim(s), the dependent claims should be allowable for the same reasons. Independent claims 1, 19 and 36 have been shown to be properly rejected under 35 U.S.C. 102 as anticipated by both Gotou and Madhavan (see above). Therefore, claims 11, 15, 17, 31-34, 39 and 42 are properly rejected.
- 13. Arguments with respect to claim 11 are moot, since this claim was cancelled by Applicant.

Claim Rejections - 35 USC § 102

14. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless -

- (b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.
- (e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

The changes made to 35 U.S.C. 102(e) by the American Inventors Protection Act of 1999 (AIPA) and the Intellectual Property and High Technology Technical Amendments Act of 2002 do not apply when the reference is a U.S. patent resulting directly or indirectly from an

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international application filed before November 29, 2000. Therefore, the prior art date of the reference is determined under 35 U.S.C. 102(e) prior to the amendment by the AIPA (pre-AIPA 35 U.S.C. 102(e)).

- 15. Claims 1-3, 18-22, 24, 27-30, 35 and 36 are rejected under 35 U.S.C. 102(b) as being anticipated by Gotou et al (US 4,933,834) (hereinafter Gotou).
- 16. As for claims 1 and 19, Gotou discloses a method and means for controlling a motorized system comprising:

measuring an attribute of the motorized system, the attribute comprises at least one of vibration, speed, temperature, pressure, and current in the motorized system [col. 1, line 59-col. 2, line 3, "...position sensing means...the sensed signal...."];

diagnosing a health of the motorized system based on the measured attribute [col. 2, lines 4-9, "...error signal producing...a specified amount...."];

providing a diagnostics signal based on the diagnosed health [col. 2, lines 4-9, "...error signal producing...a specified amount...."]; and

providing a control signal based on the diagnosed health [col. 2, lines 43-46, "...control signal producing...the memorized values...."].

- 17. As for claims 2 and 20, Gotou discloses the method of claim 1 and the system of claim 19, further comprising operating the motorized system according to the diagnostics signal [col. 1, line 55 col. 2, line 50, "These objects are... to the control signal."].
- 18. As for claim 3, Gotou discloses the method of claim 1, further comprising modifying a setpoint of the motorized system [col. 4, lines 3-11, "Thus, a control loop...at a target value (a target speed)."].

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- 19. As for claim 18, Gotou discloses the method of claim 1, wherein measuring the attribute comprises receiving measurements from at least one sensor [sensors 12A and 12B, Fig. 1].
- 20. As for claim 21, Gotou discloses the control system of claim 19, further comprising: means for modifying operation of the motorized system based on the control signal [driver 11B, Fig. 1].
- 21. As for claim 22, Gotou discloses a system comprising:
 - a motorized system [controlled system 11, Fig. 1];
 - a communications link coupled to the motorized system [inherent for transfer of control signal and sensed signals, Fig. 1]; and
 - a control system coupled to the communications link comprising [controlling block 13 and detecting block 12, Fig. 1]:

a controller coupled to the communications link adapted to operate the motorized system in a controller fashion [microprocessor 13A, Fig. 1]; and

a diagnostics system coupled to the communications link adapted to diagnose the health of the motorized system according to at least one measured attribute associate with the motorized system, the measured attribute comprises at least one of vibration, speed, temperature, pressure, and current in the motorized system [error signal producing means, col. 1, line 55 – col. 2, line 50, "These objects are... to the control signal."].

- 22. As for claim 24, Gotou discloses the system of claim 22, wherein the motorized system comprises components, devices, subsystems and process controls [Fig. 1].
- 23. As for claim 27, Gotou discloses the system of claim 24, wherein the diagnostics system provides a diagnostics signal [error signal, col. 2, lines 4-9, "...error signal producing...a

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specified amount...."], and wherein the controller provides a control signal [col. 2, lines 43-46, "...control signal producing...the memorized values...."].

- 24. As for claim 28, Gotou discloses the system of claim 27, wherein the diagnostics signal represents health of the motorized system and the control signal represents control information for the motorized system [col. 1, line 55 col. 2, line 50, "These objects are... to the control signal."].
- As for claim 29, Gotou discloses the system of claim 24, wherein the controller provides a control signal, wherein the control signal contains control information for controlling at least one of the components, the devices, the subsystems and the process controls [col. 2, lines 43-50, "...control signal producing... to the control signal."].
- As for claim 30, Gotou discloses the system of claim 22, further comprising at least one sensor coupled to the motorized system and the communications link for measuring the at least one measured attribute [sensors 12A and 12B, Fig. 1].
- 27. As for claim 35, Gotou discloses the system of claim 22, wherein the control system is implemented on a computer system [microprocessor 13A, Fig. 1].
- 28. As for claim 36, Gotou discloses a system to facilitate controlling a motorized system, comprising:

at least one sensor that senses at least one attribute of the motorized system [sensors 12A and 12B, Fig. 1];

a diagnostics system that diagnosis a state of the motorized system based at least in part on the at least one sensed attribute, the attribute comprises at least one of vibration, speed, temperature, pressure, and current in the motorized system [controlling block 13 and

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detecting block 12, Fig. 1; col. 1, line 55 – col. 2, line 50, "These objects are... to the control signal."];

a prognostic system that makes a prognosis of the motorized system based at least in part on the at least one sensed attribute and/or the diagnosed state [controlling block 13, Fig. 1; col. 1, line 55 – col. 2, line 50, "These objects are...to the control signal."]; and a controller that controls the motorized system based at least in part on the diagnosed state [microprocessor 13A, Fig. 1; col. 2, lines 43-46, "...control signal producing...the memorized values...."].

- 29. Claims 1, 19-21 and 36-38, 40 and 41 are rejected under 35 U.S.C. 102(e) as being anticipated by Madhavan (US 6,004,017).
- 30. As for claims 1 and 19, Madhavan discloses a method and means for controlling a motorized system comprising:

measuring an attribute of the motorized system, the attribute comprises at least one of vibration, speed, temperature, pressure, and current in the motorized system [col. 2, lines 39-

42, "The method includes...changes in the function."];

diagnosing a health of the motorized system based on the measured attribute [col. 2, lines 39-42, "The method includes...changes in the function."];

providing a diagnostics signal based on the diagnosed health [col. 2, lines 42-46, "The method also...limit cycle oscillations."]; and

providing a control signal based on the diagnosed health [col. 2, lines 47-52, "Still further in... on the classifier signal."].

31. As for claim 20, Madhavan discloses the control system of claim 19, further comprising:

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means for modifying operation of the motorized system based on the diagnostic signal [col. 2, lines 37-52, "In carrying out the above...on the classifier signal."].

- 32. As for claim 21, Madhavan discloses the control system of claim 19, further comprising: means for modifying operation of the motorized system based on the control signal [col. 2, lines 37-52, "In carrying out the above...on the classifier signal."].
- 33. As for claim 36, Madhavan discloses a system to facilitate controlling a motorized system, comprising:

at least one sensor that senses at least one attribute of the motorized system [col. 1, lines 56-58, "The presence and...appropriately placed accelerometers."];

a diagnostics system that diagnosis a state of the motorized system based at least in part on the at least one sensed attribute [col. 2, lines 38-46, "In carrying out...limit cycle oscillations."];

a prognostic system that makes a prognosis of the motorized system based at least in part on the at least one sensed attribute and/or the diagnosed state [col. 2, lines 38-46, "In carrying out...limit cycle oscillations."]; and

a controller that controls the motorized system based at least in part on the diagnosed state [col. 2, lines 47-52, "Still further in...the classifier signal."].

- 34. As for claim 37, Madhavan discloses the system of claim 36, the controller controlling the motorized system based at least in part on the prognosis [col. 2, lines 38-46, "In carrying out...limit cycle oscillations."].
- 35. As for claim 38, Madhavan discloses the system of claim 37, the controller automatically adjusting operation of the motorized system based at least in part on the prognosed future

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states of the motorized system [col. 2, lines 38-46, "In carrying out...limit cycle oscillations."].

- 36. As for claim 40, Madhavan discloses the system of claim 36, the prognostic system inferring future operating states of the motorized system [col. 2, lines 22-31, "Still another object...the present invention."].
- As for claim 41, Gotou discloses the system of claim 36, the controller automatically adjusting an operating state of the motorized system based at least in part on the prognosis [col. 2, lines 38-46, "In carrying out...limit cycle oscillations."].

Claim Rejections - 35 USC § 103

- 38. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:
 - (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.
- 39. Claims 4-8, 12-14, 25, 26 and 42 are rejected under 35 U.S.C. 103(a) as being unpatentable over Gotou (US 4,933,834) in view of Hays et al (US 6,260,004) (hereinafter Hays).
- 40. As for claims 4 and 5 although Gotou discloses detecting a frequency of the motorized system [col. 3, lines 25-47, "A detecting block 12...with reference to Fig. 2."], Gotou does not specifically disclose obtaining and analyzing a frequency spectrum of the measured attribute. However, Hays teaches obtaining and analyzing a frequency spectrum of a

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measured attribute in a motorized system [col. 1, line 66 – col. 2, line 14, "Rotating machines and pumps...the CSI Application paper."].

It would have been obvious to one of ordinary skill in the art at the time of the invention to modify Gotou by obtaining and analyzing a frequency spectrum of the measured attribute in order to detect and correct conditions that may lead to damage of the motorized system, as taught by Hays [col. 2, lines 47-55, "Traditional condition monitoring...pump performance signature."].

As for claims 6-8, although obvious to one of ordinary skill in the art, Gotou does not specifically disclose the method of claim 1 wherein the motorized system comprises a motorized pump nor a fan. However, Hays discloses a method similar to claim 1 which includes measuring an attribute associated with the motorized system which may comprise a motorized pump, a fan, turbine, compressor, blower, or other motorized device [col. 8, lines 37-40, "The method of the...blowers and pumps."].

It would have been obvious to one of ordinary skill in the art at the time of the invention to modify Gotou by measuring an attribute associated with the motorized system which may comprise a motorized pump, a fan, turbine, compressor, blower, or other motorized device, in order to detect and correct conditions that may lead to damage of these system, as taught by Hays [col. 2, lines 47-55, "Traditional condition monitoring...pump performance signature."].

42. As for claim 12, Gotou does not specifically disclose the method of claim 1, wherein diagnosing the health comprises analyzing an amplitude of a first spectral component of a frequency spectrum at a first frequency. However Hays teaches a method similar to claim 1,

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wherein diagnosing the health comprises analyzing an amplitude of a first spectral component of a frequency spectrum at a first frequency [col. 1, line 66 – col. 2, line 14, "Rotating machines and pumps...the CSI Application paper."].

It would have been obvious to one of ordinary skill in the art at the time of the invention to modify Gotou by analyzing an amplitude of a first spectral component of a frequency spectrum at a first frequency in order to detect and correct conditions that may lead to damage of the motorized system, as taught by Hays [col. 2, lines 47-55, "Traditional condition monitoring...pump performance signature."].

As for claims 13 and 14, Gotou does not specifically disclose the method of claim 1 wherein providing the control signal comprises providing the control signal to increase or reduce cavitation. However, Hays teaches providing a control signal to increase or reduce cavitation in order to optimize pump performance [col. 8, lines 37-48, "The method of the...normal wear and tear."; col. 9, lines 27-34, "Hosts capable of using... to drive the pump."]

It would have been obvious to one of ordinary skill in the art at the time of the invention to modify Gotou by providing a control signal to increase or reduce cavitation in order to optimize the performance of a motorized pump, as taught by Hays [col. 8, lines 37-48, "The method of the...normal wear and tear."; col. 9, lines 27-34, "Hosts capable of using...to drive the pump."].

44. As for claim 25, Gotou does not specifically disclose the system of claim 24, wherein the components comprise bearings, the devices comprise a motor, pump and fan, the subsystems comprise a motor drive-pump and process controls comprise a pump fluid control. Hays

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discloses a system similar to claim 25, wherein the components comprise bearings, the devices comprise a motor, pump and fan, the subsystems comprise a motor drive-pump and process controls comprise a pump fluid control [Fig. 1]. It would have been obvious to one of ordinary skill in the art at the time of the invention to modify Gotou such that the components comprise bearings, the devices comprise a motor, pump and fan, the subsystems comprise a motor drive-pump and process controls comprise a pump fluid control in order to provide a diagnostic system for a motorized pump assembly, as taught by Hays [col. 8, lines 37-43, "The method of...head centrifugal pumps."].

- As for claim 26, Gotou discloses a motorized system comprising a load [load 11C, Fig. 1], however Gotou does not specifically disclose that the load comprises at least one of a valve, a pump, a conveyor roller, a fan, a compressor, and a gearbox. Hays discloses a system similar to claim 22, wherein the motorized system comprises a motor and a load, and wherein the load comprises at least one of a valve, a pump, a conveyor roller, a fan, a compressor, and a gearbox [Fig. 1; col. 8, lines 37-43, "The method of...head centrifugal pumps."]. It would have been obvious to one of ordinary skill in the art at the time of the invention to modify Gotou such that the load comprises at least one of a valve, a pump, a conveyor roller, a fan, a compressor, and a gearbox in order to provide a diagnostic system for a motorized pump assembly, as taught by Hays [col. 8, lines 37-43, "The method of...head centrifugal pumps."].
- Gotou in view of Edison et al (US 5,586,305) (hereinafter Edison). As for claims 15-17 and 31-34, Gotou does not specifically disclose transmitting signals via a wireless network.

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Edison teaches a transmitting signals over a wireless or other remote network in a distributed control system [col. 8, lines 48-65, "Fig. 8 is a...wireless or IR link."]. It would have been obvious to one of ordinary skill in the art to modify Gotou such that the communication link comprises a wireless network and further to transmit one or more signals, including the control and diagnostic signals, via the wireless network, in order to control the process from a remote location, as taught by Edison [col. 8, lines 48-65, "Fig. 8 is a...wireless or IR link."].

47. Claim 39 is rejected under 35 U.S.C. 103(a) as being unpatentable over Madhavan (US 6,004,017) in view of Grayson et al (US 5,111,531) (hereinafter Grayson). Madhavan does not specifically disclose the prognostic system comprising a non-linear training system. However, Grayson teaches a control system similar to claim 36, wherein the prognostic system comprises a non-linear training system [col. 3, lines 15-23, "The trainable neural...a teaching algorithm."]

It would have been obvious to one of ordinary skill in the art at the time of the invention to modify Madhavan by using a prognostic system comprising a non-linear training system in order to predict and control at least one indirect process variable, as taught by Grayson [col. 2, line 52 – col. 3, line 2, "Briefly, according to this...indirectly controlled variable."].

48. Claim 42 is rejected under 35 U.S.C. 103(a) as being unpatentable over Madhavan in view of Hays. As for claim 42, Madhavan does not specifically disclose the controller scheduling preventive maintenance for the motorized system based at least in part on the prognosis. Hays teaches the controller scheduling preventive maintenance for the motorized system based at least in part on the prognosis [col. 2, lines 47-55, "Traditional condition

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monitoring...pump performance signature."]. It would have been obvious to one of ordinary skill in the art at the time of the invention to modify Madhavan by scheduling preventive maintenance for the motorized system based at least in part on the prognosis in order to prevent damage to the system, as taught by Hays [col. 2, lines 47-55, "Traditional condition monitoring...pump performance signature."].

Conclusion

49. THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Aaron Perez-Daple whose telephone number is 703-305-4897. The examiner can normally be reached on 9am - 6pm.

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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Anil Khatri can be reached on 703-305-0282. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Aaron Perez-Daple

Wilbert L. Starks, Jr.
Primary Examiner
Primary Examiner
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